# PMOC MONTHLY REPORT

## East Side Access (MTACC-ESA) Project

Metropolitan Transportation Authority

New York, New York

Report Period January 1 to January 31, 2014

PMOC Contract No. DTFT60-09-D-00007

Task Order No. 7, Project No. DC-27-5235, Work Order No. 1

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Length of time on project: Five years on project for Urban Engineers

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## THIRD PARTY DISCLAIMER

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For projects funded through FTA Full Funding Grant Agreements (FFGAs) program, FTA and its Project Management Oversight Contractor (PMOC) use a risk-based assessment process to review and validate a project sponsor's budget and schedule. This risk-based assessment process is a tool for analyzing project development and management. Moreover, the assessment process is iterative in nature; any results of an FTA or PMOC risk-based assessment represent a "snapshot in time" for a particular project under the conditions known at that same point in time. The status of any assessment may be altered at any time by new information, changes in circumstances, or further developments in the project, including any specific measures a sponsor may take to mitigate the risks to project costs, budget, and schedule, or the strategy a sponsor may develop for project execution. Therefore, the information in the monthly reports will change from month to month, based on relevant factors for the month and/or previous months.

## REPORT FORMAT AND FOCUS

This report is submitted in compliance with the terms of the Federal Transit Administration (FTA) Contract No. DTFT60-09-D-00007, Task Order No. 007. Its purpose is to provide information and data to assist the FTA as it continually monitors the grantee's technical capability and capacity to execute a project efficiently and effectively, and hence, whether the grantee continues to be ready to receive federal funds for further project development.

This report covers the project management activities on the East Side Access (ESA) Mega-Project managed by MTA Capital Construction (MTACC) with MTA as the grantee and financed by the FTA FFGA.

## MONITORING REPORT

### 1.0 PROJECT STATUS

#### a. Design

As of the end of December 2013, MTACC reported that the Engineering effort was 98.2% complete, an increase of 0.4% from the previous month. However, a review of their Cost Report shows only 91.8% of the budgeted section titled "Design" as having been invoiced, while overall EIS and Engineering is at 92.1%.

The 100% catenary design submittal for FHA04 was sent to Amtrak for its review on December 31, 2013 (note: ESA previously mis-reported the date as December 27, 2013). The Project Management Team (PMT) arranged a meeting with Amtrak on January 24, 2014 to review the submittal. The PMT is working to address comments provided at that meeting.

The 100% drawings for CH057B were forwarded to Procurement in January 2014. The PMT added some additional track work (previously planned to be done under LIRR Force Account

packages). This work was taken out of the CH057 package and will be performed by an MTA on-call track contractor in early 2014.

Repackaging of the remaining scope in CH057 will proceed once the change order for the GEC is approved by the MTA Board (planned for the February 2014 Board meeting). [redacted]

The CCC approved the repackaging and alternate method for constructing the Eastbound Reroute tunnel in Contract Package CH058 to make better use of available extended track outages in the summers of 2015 and 2016 on December 20, 2013. Revisions to the package will proceed once the change order for the GEC is approved by the MTA Board (planned for February 2014 Board meeting), with a 90% submission planned for June 2014.

The GEC completed the discussion materials for the Cast-in-Place, hybrid concept, and Pre-cast design options for CM007 in early November, 2013. A Request for expressions of interest (RFEI) was advertised on November 18th and 16 Expressions of interest were received by December 17, 2013 for the cast in place, hybrid concept, and precast design options for CM007. An information package and questions were sent out in January 2014 to contractors responding to the RFEI. A decision regarding the type and amount of cavern lining has not been made yet. Discussions with the contractors will be held during February 2014. The target date to complete the repackaging of CM007 is March 28, 2014. [redacted]

Completion of the specifications and drawings for the stand-alone Track and Signal Installation Contract package (CS284) was achieved in October 2013 (previously forecast for September 30, 2013). Contract documents remain under development. Technical drawings and specifications for the Traction Power Contract Package (CS084) were completed in September 2013, however work on the Contract documents continues. The specifications and drawings are being reviewed by MTACC Legal. The target for advertising is currently February 2014 (previously forecast for January 2014).

**b. Procurement**

The Recommendation for Award for the CM006 (Northern Structures) Contract package was presented and approved at the January 2014 MTA Board meeting. The NTP is forecast for March 2014.

The CM007 (Caverns) Contract Package remains under development. The target date to complete the repackaging of CM007 is March 28, 2014. ESA has stated that although the award decision should have been made by the end of December 2014, due to funding constraints, a limited NTP for procurement of pre-cast concrete is forecast to be issued by July 1, 2015, with the full NTP not issued until April 2016.

The Recommendation for Award for the CS179 (Systems Package 1) Contract package was presented and approved at the January 2014 MTA Board meeting. The NTP date is forecast for March 2014.

Advertise date (RFP) for CS084 (traction power substations) is forecast for February 2014; procurement dates for CS284 (track and signal installation) remains TBD.

The Recommendation for Award for the VS086 (Signal Equipment) Contract package was presented and approved at the January 2014 MTA Board meeting

An Industry Outreach was held November 1, 2013 to familiarize the bidding community with the CM014B package. Advertising of CM014B was previously forecast for mid-January 2014, [redacted] and the PMT is now considering changing the procurement to an RFP.

A Notice to Proceed (NTP) for a limited scope of work was issued for CH057A on November 21, 2013 (previously forecast for October 2013). Full NTP is now anticipated for February/March 2014, pending resolution of funding issues with Amtrak and the FRA for the High Speed Rail (HSR) portion of the work. On September 17, 2013, the CCC approved creating a new package (CH057B) to construct the relocated LIRR tracks ML2 and ML4. This work was taken out of the CH057 package and will be performed by an MTA on-call track contractor. Solicitation letters are forecast to be sent out to the on-call contractors in early February 2014. NTP for this work is forecast for April 2014. NTP for remaining work in the CH057 package is now forecast for September 2014.

**c. Construction**

The PMT reported in its December 2013 Quarterly Progress Report that the actual construction progress was 55.6% vs. 58.8% planned. Over the last several months, progress has only been proceeding at about half the rate as projected.

**CM013A – 55th Street Vent Facility**: MTACC reports that through December 31, 2013 the EAC remained at $59.2 million. Forecast Substantial Completion date is now April 4, 2015 from the previous March 14, 2015. As of December 31, 2013, MTACC reports that the actual percent complete remained slightly ahead of schedule at 27.1% vs.23.2% planned.

Construction Progress:

Work proceeds with day or night shifts as needed. Shotcreting in the Plenum and mud mat placement in the West Plenum were completed. The initial hole was drilled through to the cavern in the shaft and the clearing out the shaft opening began. This is the primary focus of the work. The shaft invert is at approximately 70 feet below the street surface.

**CM004 – 44th Street Building Demolition and Fan Plant Structure; 245 Park Avenue Entrance**: MTACC reports that through December 31, 2013 the EAC is $55.14 million, an increase from the previous $54.99 million. The Forecast Substantial Completion date for the CM004 contract has been extended to April 1, 2014 from the previous January 31, 2014. Beneficial Use for the 245 Park Entrance was achieved October 21, 2013. The actual percent complete is 92.2% versus 99.1% planned.

Construction Progress:

Construction of the permanent Ground Floor structure began. Erection of the limestone building facing, louvers and windows was completed. Street utility work continued on the north side of 44$^{th}$ St. The utility work on the south side of E. 44$^{th}$ St. has been removed from this contract. Work continued to install the permanent steel stairs from the ground floor to the Concourse. Completed punch list work in the shaft and Access Tunnel #1. Preparing for Substantial Completion and turning over the site to the CM005 contractor.

**CM014A– Concourse and Facilities Fit-Out:** MTACC reports that through December 31, 2013, the EAC has decreased to $54.70 million from the previous $55.58 million. Forecast Substantial Completion date has been extended to June 1, 2014 from the previous April 1, 2014.

Through December 31, 2013, the actual percent complete reported was 55.4% versus 80.9% planned. This reflects a reduction in progress percentage from the November 2013 MTA Monthly Report of 59.3% complete vs 83.9% planned. MTACC reports that the decrease in the cumulative percent complete is due to the recent increase in contract value. The large gap between percent complete versus planned continues to be largely attributed to the Supervisory Control and Data Acquisition (SCADA) system redesign (based on LIRR requirements), which resulted in a hold being placed on fabrication and delivery of all power system equipment until the redesign was completed.

Construction Progress:

Concourse (Base Contract):

The sequence of the work moves from south to north. Surveying and layout is ongoing. Continued block wall erection, door frames and branch feeder conduit installation. Block wall painting began. Work continued with ductwork installation and placement of Air Handling Units. Switchgear and SCADA equipment continue in various stages of fabrication, testing and delivery. Branch conduit installation continues throughout. Installation of electric distribution panels is ongoing throughout. Installation of copper piping is ongoing.

Concourse (Scope Transfer from CM014-B):

Continued excavation of rock and soil at the north end of the site for new manholes and utility ductbanks. Began installation of electric conduits. Saw-cutting of the train platform and temporary protection for the new permanent Access Ramp is complete. All work in this area is subject to inspection and approval by MNR. Continued with Crash Wall sawcutting.

**CM005- Manhattan South Structures**: The contractor was given Notice to Proceed on September 9, 2013. MTACC reports that the Estimate at Completion (EAC) is $225.6 million. Forecast Substantial Completion date is set for February 6, 2016. Actual construction progress for December 2013 was 1.9% versus 0.5% planned. Cumulative progress through December 31, 2013 was 5.5% actual versus 8.4% planned. Progress is being reported as behind the Early Start Dates but ahead of the Late Start Dates in the accepted Baseline CPM Schedule. The first update of the Baseline CPM Schedule was submitted by the CM005 contractor and is under review.

Construction Progress: The Contractor continued to mobilize and prepare submittals. Site handover and takeover inspections continued. The contractor continued smoothing shotcrete on the walls at GCT West Cavern and GCT 1 & 2 Wye Caverns. Waterproofing installation continued in the East Cavern and Tail Tunnel L402. The Contractor continued invert drainage installation and began rebar installation in Tail Tunnel L402. Invert concrete placement was expected to begin by the end of January 2014. Material and equipment deliveries continued.

**Queens**: **CQ031 – Queens Bored Tunnels and Structures**: All construction for the CQ031 contract was complete in November 2013 and the contractor has since demobilized and left the work site. Some commercial issues remain, however, and the MTACC anticipates that they will be resolved during 1Q2014. The Estimate at Completion (EAC) remained at $758,715,000 as of December 31, 2014.

Construction Progress: All CQ031 construction is complete. Substantial Completion was achieved on November 18, 2013.

**CQ032 – Plaza Substation and Queens Structures**: The Estimate at Completion for CQ032 was reduced slightly to $223,686,000 as of December 31, 2013. The MTACC forecast Substantial Completion remained at August 7, 2015. Actual construction progress for December 2013 was10.7% versus 10.5% planned. Cumulative progress through December 31, 2013, was 44.4% actual versus 72.3% planned. The MTACC and the CQ032 contractor continue to develop a re-baseline contract schedule which will incorporate additional work for the 63rd St. tunnel rehabilitation; work associated with design revisions in the Early Access Chamber; and prior access delays. The MTACC has adjusted its forecast completion of this schedule to 1Q2014.

Construction Progress: The CQ032 contractor continued concrete and benchwall repairs in the 63rd St. Tunnel as well as miscellaneous punchlist repairs in the wayside vent facilities at Roosevelt Island, Vernon Blvd., and 12th, 23rd, and 29th Sts. In the Open Cut (Plaza Substation), the contractor continued steel erection and concrete placement in the C06 and C07 levels and continued to waterproof and apply shotcrete to the sidewalls of both levels. Additionally, the contractor continued to construct the tunnel inverts in the Q-Tip area.

**CQ039 – Northern Boulevard Crossing**: All construction for CQ039 was complete and Substantial Completion was achieved on September 30, 2013, although compensation grout work behind the tunnel liner remained (the PMT explained that this work was always intended to be completed between Substantial and Final Completion). The grout work was completed in December 2013, but some commercial issues will not be resolved until 1Q2014. The Estimate at Completion remained at $103,719,000 as of January 31, 2014.

Construction Progress: All construction for CQ039 is complete. Substantial Completion was achieved on September 30, 2013.

**Harold Interlocking: CH053 Contract – Harold Structures Part 1 and G.0.2 Substation**: As of December 31, 2013, the Estimate at Completion (EAC) for CH053 was reduced to $247,569,000, largely due to the deletion of micro-tunnel runs #10 and 11 from the contract. The MTACC forecast for Substantial Completion was extended to December 23, 2014, a three month increase. Actual construction progress for December 2013 was 4.6% versus 0.0% planned (contract was supposed to be complete). Cumulative progress through December 31, 2013, was 84.7% actual versus 100.0% planned.

Construction Progress: The contractor's construction in January 2014 was hampered by severe weather and the railroads' Super Bowl preparations, which caused the railroads to remove their normal contractor support. Nonetheless, the contractor continued to install cross-bracing on the LIRR ML4 Track 48th Street bridge and prepare for deck installation at the ML4 43rd St. bridge. Additionally, the contractor continued micro-tunnel installation of Run 3/4 and construction of retaining wall 43-S2.

**CH054A – Harold Structures Part 2A:** As of December 31, 2013, the Estimate at Completion for CH054A was reduced slightly to $56,432,000. The MTACC forecast Substantial Completion date remained relatively the same at July 5, 2014. Actual construction progress for December 2013 was 11.3% versus 0.0% planned (contract was supposed to be complete). Cumulative progress through December 31, 2013, was 66.7% actual versus 100.0% planned.

Construction Progress: The CH054A contractor's construction efforts were also hampered by the severe weather and the railroads' Super Bowl preparations in January 2014, although to a lesser extent than CH053's. The contractor continued to install the 12kV ductbank system between Thomson Avenue and Queens Blvd when Force Account support permitted and also continued construction on micro-tunnel Runs 13-16.

**CH057A – Part 3 Westbound Bypass:** The MTACC began to report on contract CH057A – Part 3 Westbound Bypass in its 4Q2013 Report. A partial Notice to Proceed (NTP) was issued on December 2, 2013, and the MTACC forecast for Substantial Completion is January 31, 2016. Full NTP is now anticipated for March 2014. The Estimate at Completion is $113,630,000. To date, there has been no construction progress to report.

Construction Progress: Although the contractor has begun to mobilize, provide submittals, and to survey, there is no construction progress to report.

Railroad Force Account:

**FHA01 – Harold Stage 1 Amtrak**: As of December 31, 2013, the Estimate at Completion for FHA01 remained at $16,824,000. The MTACC's forecast for Substantial Completion was extended to December 23, 2014, an increase of three months. Actual construction progress for December 2013 was 1.5% versus 1.9% planned. Cumulative progress through December 31, 2013, was 94.2% actual versus 96.3% planned.

Construction Progress: Amtrak Electric Traction (ET) construction was also adversely affected by the severe weather and Super Bowl preparations in January 2014. On those occasions when they were able to work, however, ET personnel continued to re-locate catenary wires on the eastbound tracks in Harold Interlocking between Thomson Avenue and Sub 44.

**FHA02 – Harold Stage 2 Amtrak:** As of December 31, 2013, the Estimate at Completion for FHA02 remained at $41,684,000. The MTACC's forecast for Substantial Completion was extended by one month to April 24, 2015. Actual construction progress for December 2013 was 7.0% versus 9.8% planned. Cumulative progress through December 31, 2013, was 76.5% actual versus 79.1% planned.

Construction Progress: When conditions permitted, Amtrak C&S personnel continued to de-mobilize and remove old signal equipment from "F1" Interlocking.

**FHA03 – Harold Stage 3 Amtrak:** As of December 31, 2013, the Estimate at Completion (EAC) for FHA03 increased to $2,331,000, primarily due to clean-up work that was done after the summer outage. The MTACC's forecast for Substantial Completion (SC) remained at August 20, 2013, although future Project Initiations (PIs) for Stage 3 work will not only extend the date for SC, but also increase the EAC. Actual construction progress for December 2013 was 0.0% versus 0.0% planned as project clean-up continued. Cumulative progress as of December 31, 2013, was 100.0% actual versus 100.0% planned.

Construction Progress: The first phase of FHA03 construction is complete and no additional work has been started.

**FHL01 – Harold Stage 1 LIRR:** As of December 31, 2013, the Estimate at Completion for FHL01 remained at $21,972,000. The MTACC's forecast for Substantial Completion was extended to January 30, 2015, an increase of 7 weeks. Actual construction progress for

December 2013 was 1.9% versus 5.6% planned. Cumulative progress as of December 31, 2013, was 77.3% actual versus 81.8% planned.

Construction Progress: LIRR Force Account construction during January 2014 was also limited due to severe weather and Super Bowl preparations. Nonetheless, when conditions permitted, LIRR Traction Power personnel continued preparations to re-locate signal power cables from the existing signal poles to the new signal towers. Cutover is scheduled for 1Q2014.

**FHL02 – Harold Stage 2 LIRR:** As of December 31, 2013, the Estimate at Completion for FHL02 remained at $69,296,000. The MTACC's forecast for Substantial Completion was extended to March 30, 2016, an increase of 6 weeks. Actual construction progress for December 2013 was 1.9% versus 10.3% planned. Cumulative progress as of December 31, 2013, was 31.2% actual versus 41.7% planned.

Construction Progress: As with FHL01, LIRR Force Account construction during January 2014 was also limited due to severe weather and Super Bowl preparations. When conditions permitted, however, C&S personnel continued to make signal revisions and test at new the Point Interlocking CIL, and the H3 and H4 CILs in Harold Interlocking. Traction Power forces continued to install hardware and cables for the HP-1 to HP-2 and HP-3 to HP-4 main track cable crossings for the signal power separation. Communication forces continued to re-locate communications poles for the new H3 CIL.

**FHL03 – Harold Stage 3 LIRR:** As of December 31, 2013, the Estimate at Completion (EAC) for FHL03 remained at $2,706,000. The MTACC's forecast for Substantial Completion (SC) remained at September 9, 2013, although future Memoranda of Understandings (MOUs) for Stage 3 work will not only extend the date for SC, but also increase the EAC. Actual construction progress for December 2013 was 0.0% versus 0.0% planned. Cumulative progress as of December 31, 2013, was 100.0% actual versus 100.0% planned.

Construction Progress: The first phase of FHL03 construction is complete and no additional work has been started.

### d. Quality Assurance and Quality Control (QA/QC)

**ESA Project Quality Manual (PQM)**: In December 2013, the ESA Quality Manager reported that a Draft of Revision 7 to the PQM has been prepared and that he was scheduled to meet with MTACC's Chief of Quality, Safety, and Security to discuss the revision on January 10, 2014. A draft of Revision 7 was to be forwarded to the PMOC for review by the end of January 2014. The meeting was not held and the PMOC has not seen a Draft of Revision 7. Originally, Revision 7 was to be issued by the end of 2012. In March 2013, the ESA Quality Manager committed to have Revision 7 ready for PMOC review by the end of June 2013. Every month since then, the date continues to slip one month. At this point, the PMOC is not confident that the Project Quality Manual is being revised.

**Submission of As-Builts:** The construction contractor working on the CH053, CH054A, and CQ032 contracts continues to be late in submitting As-Built drawings. The contractor started to submit a limited number of As-Builts but they are not in the correct format. As a result, the GEC had to convert the files, a task that was not in their scope. Additionally, the As-Builts submitted are not up to date. At the monthly ESA Quality Staff Meeting held on October 31, 2013, the ESA Quality Manager, MTACC's Chief of Quality, Safety, and Security, and Deputy Executives

from the ESA Project agreed to meet and develop a plan of action in December 2013. This meeting was not held in December or in January 2014. The PMOC is not aware of any actions planned by ESA management to resolve this issue.

**CH053/CH054A Special Inspector Certifications:** The MTACC Code Compliance Officer stated that the CH053/CH054A contractor is using uncertified inspectors on Special Inspections for the bridges it has installed. He also noted that there is a difference between local special inspection requirements and New York State requirements. He informed the contractor's Quality Manager that New York State requirements take precedence. The contractor's Quality Manager stated that he did not agree with this but the MTACC Code Compliance advised him that the contractor must follow the New York State requirements. A follow-up meeting to resolve this issue was scheduled for January 8, 2014. As of the end of January 2014, this meeting has not been held. At the January 29, 2014 CH053/CH054A Job Progress Meeting, the MTACC Code Compliance Officer requested that the contractor meet with their Special Inspection Agency to resolve this issue.

**CM005 Quality:** Submittals from the new Quality Manager for the CM005 Contractor had many errors and omissions. The ESA CM005 Quality Manager and the CM005 Construction Manager met with the CM005 Contractor who committed to improve their submittals. The ESA CM005 Quality Manager then conducted a workshop for Construction Work Plans (CWPs) with the contractor on December 11, 2013 and reports that the quality of submittals has improved. The PMOC attended the Monthly Quality Management Meeting on January 16, 2014 and the Quarterly Quality Oversight on January 30, 2014 and observed that the CM005 Contractor's Quality Manager is performing his duties in a satisfactory manner. This issue is closed.

## 2.0 SCHEDULE DATA

ESA submitted IPS#53 data date January 2, 2014 along with its summary version of the variance report. The IPS has an RSD of March 2020, although MTACC has not stated that this is the official re-planned RSD. The PMT continues its review of the Integrated Project Schedule and a summary level schedule that includes Integrated Systems Testing (IST) was developed. The structure of the IST program has changed significantly from what was in the approved 2012 baseline schedule, with all of the non-IST Systems work now off the critical path and almost a year of IST removed from the critical path. In the PMOC's opinion, the PMT has not demonstrated that the general underlying schedule assumptions needed to make this new critical path structure valid have been met in the schedule. The PMT has not completed its re-planning of the Harold work and schedule, and still has to incorporate this into the IPS.

### Project Critical Path

The IPS#53 shows that the project critical path goes through Contracts CM005, CM007, CS179, and start up testing and commissioning. In addition, all Manhattan contracts have total floats of less than 35 days off the critical path: Contract CM007 has 13 days of float, CM014A, 21 days of float, CM014B 15 days of float, CM006, 29 days of float. The presumed critical path through the Manhattan/Systems work has to be validated by the PMT; since incorporation of an updated Harold Schedule may alter the project critical path.

**Schedule Contingency**:

The Table 4 in Appendix B shows the imbedded contingency (individual activity contingencies, and hand-offs) in IPS#53. The PMOC recommends that the PMT produce a contingency draw-down plan to show how this contingency will be managed, as required by the SMP.

## 3.0 COST DATA

**Funding**: MTACC announced at the May 2012 Capital Program Oversight Committee (CPOC) meeting that an additional $720 million will need to be identified in the MTA 2015 – 2019 Capital Plan to cover the new project baseline budget. The funding request for the 2015 – 2019 Capital Program will be submitted to the NYS Capital Program Review Board (CPRB) in September 2014. In early January 2014, MTACC presented a tentative Budget/Schedule Re-Plan to the MTA CPOC along with forecasts from the IEC and PMOC. Even under that ESA projects the need to delay Full NTP on CM007 and to delay Options work on CM014B due to lack of Funding availability.

**Budget/Cost**: The ESA December 2013 Progress Report shows total project progress was 59.3% vs. 63.8% planned, against the Current Baseline Budget (CBB) and the construction progress as 55.6% vs. 58.8% planned, based on invoiced amount. The total project progress over the preceding month was at just over 40% of the planned rate of progress.

As of December 31, 2013, the CBB remains at the baseline value of $8.708 billion, there were major swings over the last Quarter in SCCs 10, 20, and 50, and small movements in SCCs 30 and 40, mostly having to do with re-estimates and scope transfers. Over the last month, changes related to the moving of the scoped budget for CQ033 to Construction Contingency totaling $8M were made in SCCs 20, 40, and 50. Although this reflects the structured cost database ESA uses for the SCCs, there is a lack of transparency in how Contingencies are assigned and why the de-budgeting of scope (an additional problem) to Contingency should impact the SCC allocation. The PMOC has recommended that ESA re-evaluate its SCC structure going forward and establish a more properly aligned structure at the Re-Plan to avoid such discrepancies.

In October 2012, the low bid for CM012R was rejected as too high. Since that time, CM012R has been re-packaged; however, the PMT has not officially adjusted the original budget or the expected costs for that scope. CM012R was split into three major packages CM005 was recently awarded for $200M [redacted]. The PMT presented its re-planned Project Cost Estimate in a meeting convened by the MTA Office of Construction Oversight (OCO) in December 2013, which also included the Independent Engineering Consultant (IEC) and a Supplemental Independent Reviewer (SIR). At that meeting, ESA showed projected budgets of $10,068, which was later changed to $10,156M (including the $463M in Rolling Stock Reserve), with a projected RSD of March 2020. These forecasts were publicly presented to the MTA CPOC in January 2014.

The current Budget and Cost data is shown in Table 1 in Appendix B of this report. Table 3 in Appendix B of this report shows a comparison of the FFGA Baseline Budget in Standard Cost Categories (SCC) vs. the MTA's CBB.

[redacted]

**Change Orders/Budget Adjustments**: The PMT reported that during December 2013, there were five (5) change orders executed over $100K, with a net value of $6.9M, including a single change order for Motor Generator Set-Civil Work of $5.7M for CH053.

## 4.0 RISK MANAGEMENT

The MTACC conducted a limited, high-level Risk Assessment Workshop (January 14-16, 2014) of the remaining Manhattan civil construction and the systems installation, testing and overall integrated testing. The MTACC premise of the limited workshop is that Manhattan/Systems work is the controlling element of the project critical path and will determine the overall completion date. The ESA-PMT has completed a re-plan of the Manhattan work (except for CS284 procurement) but has not completed development of the Harold re-plan. MTACC stated that time limitations inhibit the ability to conduct an in-depth assessment, so in the interests of expediency the ESA-PMT conducted a high-level risk assessment.

The intent was to identify uncertainties and risks in cost and schedule for the MTA Board Chairman by January 21, 2014.

**PMOC Workshop Comments**

- The manner in which the Risk Workshop was conducted was not consistent with the requirements set forth in the RMP. The exact bases for the cost and schedule inputs were not identified and the RMP calls for approved cost and schedule baselines to work from. ESA is in the middle of a re-planning process, and current approved cost and schedule baselines do not exist. This becomes more problematic given the fact that there is a significant difference between the ESA cost and schedule baseline estimates and those of the PMOC; IEC; and SIR. The Risk Workshop facilitator was working from an out-of-date cost estimate at the beginning of the workshop; and the attempt to "range" the schedule base was not effective in the PMOC's opinion. The RMP also calls for package level risk assessments for Contract packages over $100 million. Package level risk assessments for CM014B (GCT concourse and fit-out); CM007 (caverns); and the remainder of CS179 (Systems Package 1) were not performed prior to this risk assessment, despite the fact that these packages are key components of the Manhattan/Systems work and entail significant risks. Risks in these packages should have been identified prior to conducting this workshop.
- The ESA Risk Register for Manhattan and Systems work contains over 300 risks and, prior to the Workshop, it was rolled up into about 30 summary risks by the facilitator. Without the interplay and correlation of discrete risks by the Workshop participants, the outcome of the risk analysis could miss significant and targeted project risks. Using summary risks desensitizes the process and does not allow for a determination of what specific risks drive the schedule, and potentially affect the cost estimates.

- There was no discussion at the Workshop of potential mitigation or added contingency strategies.
- The draft report produced by the risk facilitator characterized the results detailed in the report as "fuzzy" which is a strong caveat to any conclusions presented in the report

## 5.0 ELPEP COMPLIANCE SUMMARY

The current status of each of the remaining main ELPEP components is summarized as follows:

- **Technical Capacity and Capability (TCC):** PMOC's review of the MTACC update to the March 2010 Technical Capacity and Capability Plan for ESA and SAS was completed and comments were forwarded to the FTA in August 2013. In September 2013, MTACC unilaterally issued a subsequent revision to the TCC Plan. The PMOC completed its review of the September 2013 update, consolidated all comments and forwarded the final draft comments to the FTA in November 2013. The FTA is currently evaluating how the updated TCC Plan will be incorporated into the revised ELPEP. The PMOC had previously noted that a TCC review might be warranted given the significant personnel changes to many key upper management level positions that occurred in 4Q-2013. With the MTACC's announcement in January 2014 about changing the ESA Program Executive in April 2014, the PMOC's recommendation is further strengthened.
- **Continuing ELPEP Compliance:** The following ELPEP components continue to need improvement or are deficient: Management Decision; Design Development; CCC Process and Results; Stakeholder Management; Issues Management; Procurement; Timely Decision Making; Risk-Informed Decision Making.

  At the ELPEP Compliance meeting that was held on December 12, 2013. Significant risk elements discussed were:

  - The monthly project schedule review meetings have not been held, but the project has shared information with the PMOC regarding the IPS "build-up" process the project is using to develop the new schedule baseline.
  - The next risk workshop will be for the CM014B contract (GCT Concourse and Facilities Fit-Out), was anticipated in January 2014, but the workshop was not convened.
  - Risk workshops for CS179 (Systems Package 1 – Facilities Systems) and CM007 (Manhattan Cavern Structures & Facilities Fit-Out) are expected to be held during Q1-2014. As of January 31, 2014, these workshops had not yet commenced.
  - Recent schedule and cost data provided by ESA includes a qualification regarding funding availability and inquired how the project will consider and evaluate funding risk. MTACC noted that funding risk will be analyzed separately.

The PMOC notes that since June 2013, the ESA project has continued to be non-compliant with ELPEP, and is not meeting some of the more important requirements of the SMP and CMP sub-plans to the PMP. The PMOC's opinion is that this is a serious deficiency and needs to be resolved immediately.

Specific areas of non-compliance were provided to MTACC at the September 12, 2013 ELPEP Quarterly Review Meeting. The PMOC transmitted the details of ELPEP non-compliance on the

ESA Project to MTACC on October 30, 2013. MTACC provided preliminary draft responses (partial) to the PMOC list of ELPEP non-compliances at the December 12, 2013 ELPEP Quarterly Compliance Meeting. MTACC and the PMOC had planned to hold a January 2014 workshop to address the FTA and PMOC's concerns, but MTACC postponed the workshop until February 2014. The PMOC's major areas of concern include:

- **ELPEP**: MTACC is not forecasting and trending either cost or schedule contingency accurately because it does not include the significant cost, schedule and contingency impacts of the CM012R bids over budget event and subsequent cancellation of the procurement in 4Q2012. ESA has not accurately calculated the schedule contingency utilization resulting from the repackaging of CM012R and the major procurement delays. ESA has also not addressed the need for utilizing project cost contingency to cover the budget shortfall.
- **Schedule Management Plan**: The ESA project is non-compliant with requirements for IPS Updating, Forecasting, and Schedule Contingency Management.
- **Cost Management Plan**: The ESA project is non-compliant with requirements for Cost Estimating, Contract Level EAC Forecasting, Project Level EAC Forecasting, Project Level EAC Forecast Validation, Monthly Update Process and MTACC Cost Contingency Management and Secondary Mitigation.

**Revisions to the ELPEP Document**: On March 19, 2013, MTACC provided the FTA and the PMOC with its proposed revisions to the ELPEP. The FTA and MTACC have agreed to hold working meetings to progress development of a revised ELPEP. These meetings had been expected to start during 2Q2013 but have been delayed pending agreement on how to proceed without the revised ESA cost and schedule baselines, which are needed to provide a comprehensive revision to the ELPEP document that will include the new cost and schedule contingency values. As of January 31, 2014, MTACC has still not issued the new revised cost and schedule baselines.

The next ELPEP Quarterly Review Meeting with MTACC, FTA-RII, SAS and ESA projects and the PMOC is scheduled for March 20, 2014.

## 6.0 SAFETY AND SECURITY

Project safety statistics for lost time accidents continue to trend slightly above the Bureau of Labor Statistics (BLS) national average at 2.23 vs. 2.00 lost time accidents per 200,000 hours. Currently there are two Contracts that are trending above the average for the project. For the CM004 Contract, the lost time accidents are trending above the ESA Project average (2.75 vs. 2.23 lost time accidents per 200,000 hours). On the CQ031 Contract, which is complete, the lost time accident statistics trended above the ESA Project average (2.59 vs. 2.22 lost time accidents per 200,000 hours), although this Contract is currently in the demobilization and punch list phase. The PMT did not report any significant security issues during January 2013.

## 7.0 ISSUES AND RECOMMENDATIONS

**Design:** The PMOC remains concerned that the GEC and PMT continue to consistently miss all of their target dates for remaining design activities on the project. The level of effort for the GEC will increase significantly given the development of the CM007 Contract Package and the scope shifts for the remaining Harold Contract Packages. The PMOC continues to recommend

that the PMT develop a tracking sheet with firm dates for interim milestones as a tool to augment the design management process.

**Procurement**: The lack of stability in the Contract Packaging Plan (CPP) remains a concern. The PMT continues to shift and split scope among different packages, making it difficult to fully understand and evaluate the impact of these changes to the overall ESA Project at this time. The ESA PMT has recently restructured the CH057 and CH058 Contract Packages and is now considering shifting scope from the CM007 and CS284 package into CM005 and CM006. The PMOC recommends that the PMT give priority to producing an updated Contract Packaging Plan and adhere to it without shifting scope for the remainder of the project. The existing CPP is now several years old and ESA has failed to meet its commitment to provide an updated plan earlier in 2013.

Delays and the restructuring of major procurements remains an ongoing concern. Advertise date for the CM014B (GCT concourse and fit-out) package continues to slip and the PMOC learned in January 2014 that the package is being restructured to bid a significant percentage of the work as an option due to funding constraints. Advertise date for the CS284 (Track and Signal Installation) remains TBD and the advertise date for the CS084 (Traction Power) continues to slip. Advertise date for the CM007 (caverns) package is now forecast for October 2014.

**Contract CM014A**: Forecast Substantial Completion has been extended to June 1, 2014. The PMOC notes that there is no mention of the scope, cost, or schedule impact caused by the CM014-B scope transfer work to this Contract in the December 2013 ESA Quarterly Progress Report.

**Contract CM013**: Through January 31, 2014, the stop work order issued by the MTACC Code Compliance Unit (CCU) for the application of Pneumatically Applied Concrete (PAC) continued to be partially lifted. The contractor completed the mockup and core samples were taken after 28 days cure. Full release of the order continues to await successful inspection/testing by CCU of the samples.

**Contract CQ032**: The PMOC remains concerned about the gap between actual and planned construction progress for CQ032 (Although the trend has reversed itself in recent months the gap (29.9%) is still significant. The MTACC and the Contractor continue to develop a re-baselined schedule that will address the construction gap as well as other issues. This schedule was supposed to be completed by the end of December 2013, but, as of January 31, 2014, negotiations to authorize this re-baseline are not yet complete. The PMOC believes that, based on the MTACC's history with change negotiations, it could be the end of 1Q2014 before the re-baselined schedule is authorized. The PMOC recommends that the parties focus additional attention on this effort to expedite its development and then follow the re-schedule explicitly to recover as much time as possible.

**Contract CQ039**: Although all construction for CQ039 is complete, the PMOC remains concerned about the remaining commercial issues, which could take some time to resolve, and the pneumatically applied concrete (PAC) code compliance issue, which has also not been resolved. The PAC issue, dependent upon what is decided, could have more wide-spread effect on the ESA program due to the amount of PAC that has been applied. The PMOC recommends that the MTACC expedite negotiations for the commercial issues and develop its position.

**Contracts CH053/54A**: The PMOC remains concerned that the CH053/CH054A contracts continue to have a potential for additional construction delays and increased cost due to their high degree of dependence upon the railroads' Force Account support, which is erratic, at best. January 2014 was a good example of how erratic it can be. The weather was severe, which caused the railroads to use ESA forces to keep their right of ways operational. Additionally, Amtrak placed an embargo on all construction work during the last week of January in preparation for the Super Bowl. Although January was an extreme case, railroad support of CH053/CH054A has been similarly erratic throughout the life of the contracts. To avoid further schedule slippage, the PMOC recommends that the PMT place its highest priority on the Force Account support for the remaining CH053/CH054A construction (Amtrak and LIRR supply fixed amounts of support for all ESA contracts. The ESA PMT is responsible to decide how that support is allocated among all its contracts).

**Railroad Force Account**: The PMOC has been informed that Amtrak has completed the retrofit at Penn Station Central Control (PSCC) that caused the postponement of Point Interlocking cutover until February 2014 and that the LIRR is on schedule for the cutover. Since the cutover is a predecessor activity to the remainder of the 2014 work Program, it is now critical that it be completed in February 2014 so that the remainder of this year's work can remain on schedule. The PMOC recommends that the LIRR do everything possible to ensure that it takes place as scheduled.

**Project Funding/Budget**: The PMOC has long stated, and ESA has recently confirmed, that the cost overrun on the cancelled CM012R solicitation has left the ESA Project with a budget shortfall, which will impact the project's ability to mitigate future cost increases, and will also impact the ability to make timely awards of future contract packages, as is illustrated in the ESA schedule for the CM007 award. CM007 will have only a limited NTP (for procurement of Pre-Cast panels) and then wait 9 months for additional funding in order to give the Full NTP for Construction. This is also illustrated by the fact that the CS179 Contract package was split into a base contract with seven options, due to funding constraints The PMT has acknowledged that it has currently identified funding for only the base contract and may face problems of inadequate available funding to award the options. The PMOC also learned in January 2014 that the CM014B Contract package is being restructured to include a significant amount of work as an option due to funding constraints.

At the end of December 2013, ESA provided the first indication of its new projected Budget requirements for its Re-Plan at $10,156M. That value is significantly below the IEC's projection of $10,444M and the PMOC's at between $10,772M (medium level of mitigation) and the more probable $10,918M. All these values include $463M for the Rolling Stock Reserve. To date, ESA has not provided this in any official fashion nor has it shown or discussed it in its Monthly Reporting to the FTA, as is required by its Cost Management Plan (CMP).

**Project Schedule:** The PMT presented its re-planned Project Schedule in a meeting in December 2013. The RSDs developed by the PMOC, IEC, and SIR are at least a year or more beyond the MTACC's date presented at the MTA CPOC meeting in January 2014. .

**Risk Management:** The PMOC is concerned about the continuing failure to fully follow the risk management processes in the RMP. The last monthly risk meeting with the PMOC was held in July, 2013. The PMT has also not provided updated risk registers on a regular basis as required. This in combination with lack of regular risk meetings with PMOC makes it difficult

to determine the effectiveness of the ESA Risk Management process and its integration into the Program.

Funding availability continues to be a major risk on the ESA project as discussed in the Project Budget section above.

The PMOC remains concerned about the coordination risk retained by MTACC on the completion of the work in Manhattan, especially with regard to the construction and testing interface management for the systems work. When combined with the extensive scoping re-configuration changes anticipated for the Harold Interlocking work, the PMOC believes that this will create significant changes to the overall project risk profile.

The PMOC remains concerned that MTACC has not committed to performing a full programmatic risk assessment once the new cost and schedule baselines are completed. The PMOC considers this an essential component in establishing the required cost and schedule contingency going forward. The PMOC continues to suggest that a programmatic Risk Assessment for the ESA project be convened as soon as possible and that such an assessment be carefully planned to allow for proper evaluation, characterization, and contribution by all participants.

## APPENDIX A -- ACRONYMS

| | |
|---|---|
| AFI | Allowance for Indeterminates |
| ARRA | American Recovery and Reinvestment Act |
| BA | Budget Adjustment |
| CBB | Current Baseline Budget |
| C&S | Communication and Signals |
| CCC | Change Control Committee |
| CCM | Consultant Construction Manager |
| CM | ESA Construction Manager assigned to each contract |
| CMP | Cost Management Plan |
| CPOC | Capital Program Oversight Committee |
| CR | Candidate Revision |
| CSSR | Contact Status Summary Report |
| CIL | Central Instrument Location |
| CPRB | Capital Program Review Board |
| CPP | Contract Packaging Plan |
| DCB | Detailed Cost Breakdown |
| ELPEP | Enterprise Level Project Execution Plan |
| EPC | Engineering-Procurement-Construction |
| ERT | East River Tunnel |
| ESA | East Side Access |
| ET | Electric Traction |
| FA | Force Account |
| FAMP | Force Account Management Plan |
| FHACS | "F" Harold Alternate Control System |
| FFGA | Full Funding Grant Agreement |
| FTA | Federal Transit Administration |
| GCT | Grand Central Terminal |
| GEC | General Engineering Consultant |
| HTSCS | Harold Tower Supervisory Control System |
| IEC | Independent Engineering Consultant (to MTA) |
| IFB | Invitation for Bid |

| | |
|---|---|
| IPS | Integrated Project Schedule |
| IST | Integrated System Testing |
| LIRR | Long Island Rail Road |
| MNR | Metro-North Railroad |
| MTA | Metropolitan Transportation Authority |
| MTACC | Metropolitan Transportation Authority Capital Construction |
| N/A | Not Applicable |
| NTP | Notice-to-Proceed |
| NYAR | New York and Atlantic Railroad |
| NYCDEP | New York City Department of Environmental Protection |
| NYCDOB | New York City Department of Buildings |
| NYCT | New York City Transit |
| NYSPTSB | New York State Public Transportation Safety Board |
| OCO | Office of Construction Oversight (MTA) |
| PAC | Pneumatically Applied Concrete |
| PEP | Project Execution Plan |
| PMOC | Project Management Oversight Contractor (Urban Engineers) |
| PMP | Project Management Plan |
| PMT | ESA Project Management Team |
| PQM | Project Quality Manual |
| PWE | Project Working Estimate |
| QA | Quality Assurance |
| RAMP | Real Estate Acquisition Management Plan |
| RFP | Request for Proposal |
| RMCP | Risk Mitigation Capacity Plan |
| RMP | Risk Management Plan |
| ROD | Revenue Operations Date |
| ROW | Right of Way |
| RSD | Revenue Service Date |
| SC | Substantial Completion |
| SCC | Standard Cost Category |
| SMP | Schedule Management Plan |

| | |
|---|---|
| SSMP | Safety and Security Management Plan |
| SSOA | State Safety Oversight Agency |
| SSPP | System Safety Program Plan |
| TBD | To Be Determined |
| TBM | Tunnel Boring Machine |
| TCC | Technical Capacity and Capability |
| VE | Value Engineering |
| WBS | Work Breakdown Structure |
| WBY | Westbound Bypass Tunnel |

# APPENDIX B – TABLES

## Table 1: Summary of Critical Dates

| | FFGA | Forecast (F) Completion, Actual (A) Start | |
|---|---|---|---|
| | | Grantee* | FTA |
| Begin Construction | September 2001 | September 2001(A) | September 2001(A) |
| Construction Complete | December 2013 | August 2019 | September 2019** |
| Revenue Service | December 2013 | August 2019 | September 2019 |

* Source – Grantee forecast Revenue Operations Date per information presented to MTA CPOC on May 21, 2012
**Source –Based on PMOC 2012 risk assessment results. Given the current status of the project, this date will not be met.

## Table 2- Project Budget/Cost Table (as of December 2013)

| | FFGA | | | MTA's Current Baseline Budget (CBB) | | Expenditures | |
|---|---|---|---|---|---|---|---|
| | (Millions) | (% of Grand Total Cost) | Obligated (Millions) | (Millions) | (% of Grand Total Cost) | (Millions) | (% of CBB) |
| **Grand Total Cost** | **$7,386** | **100** | | $9,824 | **100.0%** | $5,345.00 | **54.4%** |
| Financing Cost | $1,036 | 14 | | $1,116 | | $617.6 | **55.3%** |
| Total Project Cost | $6,350* | 86 | $4,107 | $8,708 | **88.3%** | $4,727.40 | **54.3%** |
| **Federal Share** | $2,683 | 36.3 | $1,148 | $2,699 | **27.5%** | $1,922.70 | **71.2%** |
| 5309 New Starts share | $2,632 | 35.6 | $1,098 | $2,437 | **24.8%** | $1,665.20 | **68.3%** |
| Non New Starts grants | $51 | 0.7 | $50 | $67 | **0.7%** | $62.10 | **92.7%** |
| ARRA | 0 | 0 | 0 | $195 | **2.0%** | $195.4 | **100.2%** |
| **Local Share** | $3,667 | 49.6 | $2,959 | $6,009 | **61.2%** | $2,804.70 | **46.7%** |

* CBB represents current MTA Board approved $8,245 million budget plus $463 million for Rolling Stock Reserve (regional investment not included).

## Table 3: Comparison of Standard Cost Categories: FFGA vs. CBB

| Standard Cost Category (SCC) No. | FFGA SCC baseline (YOE $) M | July 2, 2012 Re-baseline (YOE $) | September 2013 SSC (YOE $) M | December 2013 SSC (YOE $) M | Dec 2013 % of Rebaseline | Sept'13 to Dec '13 Change $M | CBB Variance from FFGA % |
|---|---|---|---|---|---|---|---|
| 10 | 1,989 | 2,943 | 3,099 | 3,073 | 104.42% | -26 | 54.50% |
| 20 | 1,169 | 1,514 | 1410 | 1,397 | 92.27% | -13 | 19.50% |
| 30 | 356 | 388 | 332 | 325 | 83.76% | -7 | -8.71% |
| 40 | 205 | 488 | 513 | 519 | 106.35% | 6 | 153.17% |
| 50 | 619 | 698 | 677 | 717 | 102.72% | 40 | 15.83% |
| 60 | 165 | 204 | 204 | 204 | 100.00% | 0 | 23.64% |
| 70 | 957 | 674 | 674 | 674 | 100.00% | 0 | -29.57% |
| 80 | 1,184 | 1,649 | 1,649 | 1649 | 100.00% | 0 | 39.27% |
| 90 | 169 | 150 | 150 | 150 | 100.00% | 0 | -11.24% |
| **Subtotal** | **6,813** | **8,708** | **8,708** | 8,708 | **100.00%** | 0 | **27.84%** |
| 100 | 1,036 | 1,116 | 1,116 | 1,116 | 100.00% | 0 | 7.72% |
| **Total Project Cost (10 – 100)** | **7,849** | **9,824** | **9,824** | **9,824** | **100.00%** | 0 | **25.19%** |

*This total amount does not include Regional Investment amount of $590,732,003.

Notes to changes in the Code: None

SCC #10 Increase FHA53, FHA54A, FQA32, FHL53 and FHL54A budgets from Construction Contingency

SCC #20 Increase FHA53, FHA54A, FQA32, FHL53 and FHL54A budgets from Construction Contingency

SCC #30 Increase FQA32 budget from Construction Contingency

SCC #40 Increase FHA53, FHA54A, FQA32, FHL53 and FHL54A budgets from Construction Contingency

SCC #50 Increase FHA53, FHA54A, FHL53 and FHL54A budgets from Construction Contingency

## Table 4 Contingency Embedded in IPS #53

| Activity ID | Activity Name | Original Duration (days) | Start | Finish |
|---|---|---|---|---|
| **CM014B GCT Concourse and Facilities Fit Out** | | | | |
| E3920 | (CM014A Hand Off to CM014B | 60 | 3-Jul-14 | 31-Aug-14 |
| [redacted] | | | | |
| **CM015: 48th Street Entrance** | | | | |
| CM015-TO | CM015 Milestone SC Turnover of 48th Street to Other Contracts | 76 | 17-May-18 | 31-Jul-18 |
| **CM005: Manhattan South Structures** | | | | |
| CM005-TO25 | Milestone 1 Escalator/Cavern Connections - Complete Wellways 1 thru 4 - MS30 Turnover 2 Mth. | 44 | 5-Sep-14 | 6-Nov-14 |
| CM005-TO30 | CM005 MS #4 S C. Turnover to Other Contracts | 82 | 29-Jan-16 | 20-Apr-16 |
| **CM006: Manhattan North Structures** | | | | |
| CM006-TO10 | CM006 MS #1 Turnover to Other Contracts: GCT 6 Rms, EB 63rd Tunnel | 94 | 5-Sep-15 | 7-Dec-15 |
| CM006-TO20 | CM006 MS #2 Turnover to Other Contracts: Lower Level | 81 | 5-Mar-16 | 24-May-16 |
| CM006-TO30 | CM006 MS #3 S C. 2 MONTH HANDOFF Turnover to Other Contracts | 86 | 3-Nov-16 | 27-Jan-17 |
| **CM007: GCT Caverns** | | | | |
| CM007- | CM007 MS #1 Turnover to Other Contracts: TOC & BOH Areas Complete | 143 | 24-Feb-17 | 16-Jul-17 |

| | | | | |
|---|---|---|---|---|
| TO10 | TBD | | | |
| CM007-TO20 | CM007 MS #2 Turnover to Other Contracts: Superstructure Complete | 61 | 27-Mar-18 | 26-May-18 |
| CM007-TO30 | CM007 MS #3 S C. Turnover to Other Contracts | 139 | 14-Feb-19 | 2-Jul-19 |
| **CQ032: Plaza Substation & Queens Structures** | | | | |
| CQ032-TO20 | CQ032 MS #2 Turnover to Other Contracts: YL Track Level Complete | 60 | 14-Aug-14 | 12-Oct-14 |
| CQ032-TO45 | CQ032 MS #4B Turnover to Other Contracts: 12th & 23rd St Vent Facility Complete | 190 | 22-Oct-14 | 29-Apr-15 |
| CQ032-TO50 | CQ032 MS #5 Turnover to Other Contracts: (Yellow) C07 | 84 | 6-Feb-15 | 30-Apr-15 |
| CQ032-TO60 | CQ032 MS SC Turnover to Other Contracts | 91 | 8-Aug-15 | 6-Nov-15 |
| **CQ031: Queens Bored Tunnels and Structures (Initial GTF Schedule)** | | | | |
| CQ031-TO70 | CQ031 MS #7 S C. Turnover to Other Contracts | 60 | 2-Jan-14 | 2-Mar-14 |
| **CH053: Harold Structures - Part 1 & G.O.2 Substation** | | | | |
| CH053-TO20A | CH053 MS #2A Turnover to Other Contracts: Tunnel A Approach Structure | 60 | 8-Jul-14 | 5-Sep-14 |
| CH053-TO20 | CH053 MS #2 Turnover to Other Contracts: Track A Pit & Approach Structure | 60 | 7-Nov-14 | 6-Jan-15 |
| CH053-TO90 | CH053 MS #9 SC Turnover to Other Contracts | 60 | 24-Dec-14 | 21-Feb-15 |
| **CH057: Harold Structure - Part 2/3, 48th bridge / EBRR(700lf)** | | | | |
| CH057-TO10 | CH057 MS SC Turnover to Other Contracts | 60 | 1-Oct-14 | 30-Nov-14 |
| **CH058: Harold Structures - Part 3, Eastbound Reroute, D Approach, B/C** | | | | |
| CH057-TO20 | CH057 MS Turnover to Other Contracts: Tunnel D Pit & Approach | 60 | 14-Jan-17 | 14-Mar-17 |
| CH058-TO | CH058 MS Turnover to Other Contracts: D Approach Structure | 60 | 14-Jan-17 | 14-Mar-17 |
| CH053 or CH058- | CH053 MS #9 SC or CH058 Turnover to Other Contracts: Track B/C Complete | 60 | 19-Dec-17 | 16-Feb-18 |

| | | | | |
|---|---|---|---|---|
| TO | | | | |
| CS078-TOYL | CS078 MS YARD LEAD Turnover to Other Contracts | 57 | 22-Apr-15 | 17-Jun-15 |
| CH061-TO | CH061 MS S.C. Turnover to Other Contracts TBD | 60 | 7-Aug-15 | 6-Oct-15 |

**Table 5 – ESA Core Accountability Items**

| Project Status: | | Original at FFGA | Current* | ELPEP ** |
|---|---|---|---|---|
| **Cost** | Cost Estimate | $7.386B | $8.708B | $8.119B |
| [redacted] | [redacted] | [redacted] | [redacted] | [redacted] |
| | [redacted] | [redacted] | [redacted] | [redacted] |
| **Schedule** | Revenue Service Date | December 31, 2013 | September 2019 | April 30, 2018 |

| | | |
|---|---|---|
| **Total Project Percent Complete** | Based on Expenditures | 59.3 *** |
| | Based on Earned Value | NA |

| Major Issue | Status | Comments |
|---|---|---|
| Impact of CM012R solicitation cancellation, scope repackaging and re-bidding. | Scope from cancelled CM012R (Manhattan Structures 2) solicitation was split among existing and three new contract packages. Work from CM012R replacement packages are on the project critical path. The first new contract package (CM005) had an NTP for September 9, 2013. A recommendation for award of CM006 was made to the MTA Board in January 2014. 11 expressions of interest for the CM007 RFEI were received on December 17, 2013. Information was forwarded to RFEI respondents in January 2014, and the PMT will hold meetings to discuss the Contract during February 2014. | Budgets for the CM005 and CM006 packages have been established. The PMT continues working on developing the remaining contract package (CM007). A preliminary cost estimate for this package has been developed, however that may change pending information received from the contracting community in the RFEI process. |
| Major Procurements Delays | A recommendation for award of CS179 (Systems Package 1) was made to the MTA Board in January 2014. This procurement had been in negotiations since May 2012. A recommendation for award of VS086 (Signal Equipment) was also made to the MTA Board in January 2014. | Partial NTP for the CM007 Package cannot be made before July 2015 due to budget constraints. ESA changed the structure of the CS179 Package to include a base contract and seven options. The ESA PMT has also stated that it only has funding in place to award the |

| | | |
|---|---|---|
| | Advertise date for CM014B is now forecast for the end of February 2014. Advertise date for the CS084 (Traction Power) Package is forecast for February 16, 2014. Advertise date for CS0284 (track and signal installation) remains TBD.. | base contract for CS179 at present. |
| Project Schedule | The ESA project does not have an official baseline schedule as of the end of January 2014. A schedule was presented by MTACC to the MTA CPOC in January 2014, showing an RSD in September 2021 (with 12 months of contingency/risk included). | The presumed project critical path through Manhattan/Systems has to be validated and the updated Harold schedule has to be incorporated into the IPS. |
| **Next Quarterly Meeting:** | TBD | |

* Note that $9.824B (finance included) and the September 2019 RSD are the MTA cost and schedule baselines approved in May 2012.

** 2010 Enterprise Level Project Execution Plan (ELPEP) reflecting medium level of risk mitigation, excluding financing cost of $1,116 million. ELPEP is to be updated.

*** Expenditure percentage based on dividing ESA Invoiced" figure by "Current Baseline Budget" figure excluding Rolling Stock Reserve.